

## CHAPTER 116. CONDUCT CERTIFICATION OF A FEDERAL AVIATION REGULATIONS PART 137 OPERATOR

### SECTION 1. BACKGROUND

#### 1. PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODE: 1202

**3. OBJECTIVE.** The objective of this task is to determine that an applicant for a Federal Aviation Regulations (FAR) Part 137 certificate meets the rules governing the operation of agricultural aircraft by private or commercial operators. Successful completion of this task results in either issuance of a Private or Commercial Agricultural Aircraft Operator Certificate or denial of a certificate.

**5. GENERAL.** Before beginning any certification process, inspectors should review volume 1, chapter 3, The General Process for Approval or Acceptance, and chapter 4, Certifying Organizations.

#### 7. PREAPPLICATION PHASE

*A. Basic Eligibility Requirements.* During initial contact with an applicant proposing a FAR Part 137 operation, the inspector must determine if the proposed operation is applicable to FAR Part 137. In making this determination the inspector considers the following basic eligibility requirements.

(1) The applicant should apply for either a private operator certificate or a commercial operator certificate (as per FAR § 137.19).

(a) The private agricultural aircraft operator may not conduct operations over property unless he or she is the owner or lessee of the property or has ownership or other legal interest in the crops located on the property. (See chapter 115, Introduction to FAR Part 137 Related Tasks, paragraph 13D, Proof of Property Interest.) In addition, the private operator may not conduct operations for compensation or hire or over a congested area.

(b) A commercial agricultural aircraft operator is not limited by FAR § 137.35, provided all other requirements of FAR Part 137 are met.

(2) The private operator applicant must hold either a private, commercial, or airline transport pilot certificate with appropriate ratings.

(3) The commercial operator applicant must have available the services of a pilot with a current commercial or airline transport pilot certificate with appropriate ratings. (The applicant may be the “available pilot.”)

(4) The applicant must show proof of the availability of at least one aircraft that is properly certificated, airworthy, and equipped for agricultural operations.

(5) The applicant for a commercial operator certificate must have the appropriate knowledge and skills or have the services of a chief supervisor of agricultural operations who has the appropriate knowledge and skills.

*B. Exceptions to FAR Part 137.* The following are exceptions to FAR Part 137 applicability:

(1) A public aircraft conducting agricultural aircraft operations need not comply with the certification rules of FAR Part 137 but must comply with the operating rules of FAR Part 137. A public aircraft is one used exclusively in the service of any government or any political subdivision thereof and not engaged in carrying persons or property for commercial purposes.

(2) The holder of a FAR Part 133 Rotorcraft External-Load Operator Certificate may conduct an agricultural aircraft operation involving only the dispensing of water on forest fires by rotorcraft external-load means without meeting the FAR Part 137 certification requirements.

*C. Restricted and Experimental Category Aircraft.* Restricted category aircraft may be used in agricultural operations, as per FAR § 91.39(b). Under certain conditions aircraft with experimental certification may also be used in private agricultural operations, as per FAR § 91.42.

*D. The Certification Team.* For a FAR Part 137 certification, the office manager or unit supervisors selects a team of at least one operations and one maintenance inspector (and an avionics inspector, as

required). One person is designated as the Certification Project Manager (CPM). All correspondence, both to and from the applicant, shall be coordinated with the CPM.

*E. Establishment of a District Office File on the Applicant.* This file forms the basis for the eventual operator file if certification is successful. It also provides information for justifying denial of certificate.

*F. Job Aids.* Two job aids which can be useful to the certification team and the applicant are the Certification Process Flow Chart (figure 116-1) and the Certification Job Aid (figure 116-2). The certification team may also wish to provide the applicant with a blank, sample Schedule of Events (figure 116-3) for the applicant's use. The applicant may, however, submit a certification schedule in any form as long as it is acceptable to the certification team.

*G. The Preapplication Meeting.* If the certification team has determined that a preapplication meeting is necessary, that meeting should include, but not be limited to, the following:

(1) An overall review of the letter of intent (figure 116-4).

(2) A review of the applicable FAR and advisory circulars.

(3) A review and discussion of the upcoming certification process.

**9. FORMAL APPLICATION PHASE.** If the certification team decides to have a formal application meeting, all members of the team should be present, barring unanticipated circumstances. If one team member cannot be present, another qualified inspector of the same specialty should attend. Most likely the team will have called the meeting because of discrepancies with the application, because the team perceived the applicant was unsure of what was expected, or because the proposed operation is complex.

**11. THE DOCUMENT COMPLIANCE PHASE.** The application and evidence of an appropriately equipped aircraft can be reviewed during the "document compliance" phase unless they were satisfactorily reviewed in the formal application meeting; then, this phase can be eliminated.

**13. THE DEMONSTRATION AND INSPECTION PHASE.** In this phase the applicant demonstrates the ability to comply with the FAR and safe operating practices.

*A. Private Operators.* Private agricultural aircraft operators are not required to maintain any records

pertinent to their operation. However, this does not preclude the use of a written record to present evidence of informing personnel of their duties and responsibilities.

*B. Commercial Operators.* Each holder of a commercial agricultural aircraft operator's certificate must maintain and keep current at the primary base of operations certain specific records. Commercial operators may also wish to keep a written record to indicate that personnel have been informed of their duties and responsibilities (FAR § 137.71).

*C. Time Limitation.* The required records must be kept at least 12 months. The operator must make the records available for inspection by the Federal Aviation Administration upon request.

## 15. THE CERTIFICATION PHASE.

*A. Issuance of Certificate.* The air operator certificate number is obtained from AFS-620 as described in volume 2, chapter 203, Obtain a Certificate Number. When the certification team has concluded that the applicant meets the qualifications for either a private or commercial agricultural aircraft operator's certificate, FAA Form 8430-21, Operating Certificate, is prepared by the administrative staff. The effective date of the certificate is the month, day, and year the final inspection was successfully completed.

*B. Signature and Certificate Facsimile.* The original certificate, signed by the district office manager, is given to the operator. A copy of the certificate is placed in the district office file on the operator. A facsimile of the certificate must be carried on board each aircraft.

*C. Private or Commercial Operator.* The certificate and its copies must show that the certificate is for either a private operator or a commercial operator.

## 17. DISPOSITION OF FILE.

*A. Certification Successful.* If the application and other documents are approved and the demonstrations are acceptable, the applicant receives an agricultural operator's certificate. The district office file must contain copies of the application and a copy of the operator's certificate in addition to the other applicable material indicated in section 2 of this chapter.

*B. Certification Unsuccessful.* If the certification attempt is denied, the application is returned to the applicant as a notice of disapproval. The district office file must contain a copy of the notice of disapproval, with appropriate remarks pertaining to the denial.

## SECTION 2. PROCEDURES

### 1. PREREQUISITES AND COORDINATION REQUIREMENTS.

*A. Prerequisites.* This task requires knowledge of the regulatory requirements of Federal Aviation Regulations (FAR) Part 137 and Federal Aviation Administration (FAA) policies and qualification as an aviation safety inspector (ASI) (operations).

*B. Coordination.* This task requires coordination with the airworthiness unit.

### 3. REFERENCES, FORMS, AND JOB AIDS.

#### *A. References.*

- FAR Parts 1, 43, 61, and 91
- Advisory Circular (AC) 137-1, Agricultural Aircraft Operations
- Medical Problems in Aerial Application, published by the Civil Aeromedical Institute, April 1977
- PTRS Procedures Manual (PPM)

#### *B. Forms.*

- FAA Form 8000-36, Program Tracking and Reporting Subsystem Data Sheet
- FAA Form 8430-21, Operating Certificate (figures 116-9 and 116-10)
- FAA Form 8710-3, Agricultural Aircraft Operator Certificate Application

#### *C. Job Aids.*

- FAR Part 137 Certification Process Flow Chart (figure 116-1)
- FAR Part 137 Certification Job Aid (figure 116-2)
- Sample Schedule of Events (figure 116-3)
- Sample letters and figures

### 5. PREAPPLICATION PHASE PROCEDURES.

*A. Initial Inquiry.* Upon initial inquiry from an applicant, ask for the location of the principal base of operation. If the principal base of operation is in the jurisdiction of another FAA district office, provide the applicant with the location and telephone number of that office. However, continue to give the applicant information to begin certification.

*B. Applicant Resources.* Make sure the applicant is aware of the certification and operating require-

ments of FAR Parts 43, 61, 91, and 137. Ensure the applicant has current copies of FAR Parts 91 and 137 and AC 137-1. If there is any question, explain the following:

- (1) General applicability and definition of terms
- (2) Certification requirements
- (3) Operating rules
- (4) Required records and reports of FAR Part 137

*C. Other Regulations.* Advise the applicant that he or she is responsible for complying with other Federal, state, and or county aerial application regulations.

*D. Letter of Intent.* Determine if a letter of intent is required based on the size and scope of the operation. (See paragraph F below for content.) If no letter of intent is required, give the applicant copies of the application.

*E. Program Tracking and Reporting Subsystem (PTRS).* Open PTRS file.

*F. District Office Review of Letter of Intent.* Within 30 working days of the FAA's receipt of a letter of intent, review it to determine if the information is complete, accurate, and acceptable.

(1) The letter of intent should contain the following items:

(a) Specific type of agricultural aircraft operator certificate for which he or she is applying (commercial or private)

(b) Company legal name and any d/b/a's, principal operation base address, primary airport address, mailing address (if applicable), and telephone numbers

(c) Type of aircraft to be operated

(d) Estimated date when operations or services will begin

(e) Names and addresses of any management personnel or chief supervisor

(f) Three, three-letter designators, in order of applicant's preference

(2) Determine if the applicant meets the eligibility requirements for certification. (See detailed eligibility requirements in FAR § 137.19.) If the applicant does not satisfy these, discuss those specific

areas that must be complied with before certification can begin.

*G. Application.* If the applicant appears to meet the basic eligibility requirements, give the applicant three copies of FAA Form 8710-3.

(1) Discuss how to complete these forms with the applicant.

(2) Advise the applicant to submit the forms in triplicate with original signatures on each.

(3) Explain the certification process to the applicant, including the requirements for:

- (a) The Preapplication Phase
- (b) The Formal Application Phase
- (c) The Document Compliance Phase
- (d) The Demonstration and Inspection Phase
- (e) The Certification Phase

*H. Preapplication Meeting.* Determine if a preapplication meeting is necessary based on the following considerations about the applicant:

- (1) Previous FAR Part 137 operating experience
- (2) Size and scope of operation
- (3) Area of operation
- (4) Applicant's ability to comply with requirements
- (5) If a preapplication meeting is not necessary, schedule a date and time for a formal application meeting.
- (6) If a preapplication meeting is necessary, schedule a date and time. At the meeting discuss the following:

- (a) Area of operation (local or across district boundaries)
  - (i) Location of principal operation base
  - (ii) Location of probable satellite sites
- (b) Type of operation
  - (i) Private or commercial operator
  - (ii) Economic poisons or other dispensing material
  - (iii) Operating as individual, corporation, or partnership
- (c) Previous experience with FAR Part 137 operations

(d) Category and class of aircraft (helicopter or airplane)

(e) Qualifications and experience of chief supervisor

(f) Applicability of FAR Parts 91 and 137

(g) AC 137-1

(h) Any previous or pending enforcement action

*I. District Office Records.* If not already accomplished, complete FAA Form 1360-33. Indicate the actions taken to date and any future actions planned.

*J. Establish a District Office Working File.* Place any correspondence, additional documents, and FAA Form 1360-33 in this file.

*K. Other District Office Actions.* Follow office procedures to contact the Enforcement Information System (EIS) to determine applicant's enforcement history.

(1) If a certificate suspension or revocation order indicates that the applicant cannot be certificated while the order is in effect, inform the applicant in writing (figure 116-5) that until the enforcement action is fulfilled, he or she is ineligible for certification.

(2) Place the EIS output in the file.

*L. Terminating the Preapplication Phase.* This ends the preapplication phase. Begin the formal application phase with the receipt of the completed application form.

## 7. FORMAL APPLICATION PHASE PROCEDURES.

*A. Application Review.* Within 30 working days of receipt, review the application only to determine if it is of sufficient quality to continue with certification. Review it in depth in the document compliance phase. (An example of a properly completed application is shown in figure 116-6.)

*B. Application Not Accurate or Complete.* If the application is not complete or accurate, notify the applicant in writing (figure 116-7) of needed changes before certification can be continued.

*C. Need for Formal Application Meeting.* Determine if the optional formal application meeting is necessary.

(1) If a formal application meeting is not necessary, schedule the certification inspection of the principal base of operations. Review with the applicant the procedures required during the demonstration and inspection phase.

(2) If a formal application meeting is necessary, schedule a date and time.

*D. Formal Application Meeting.* Discuss the items which would have been covered in a preapplication meeting or any discrepancies in the application thus far.

*E. Terminating the Formal Application Phase.* This completes the formal application phase. The next phase is the document compliance phase (normally conducted in the district office).

**9. DOCUMENT COMPLIANCE PHASE PROCEDURES.** After accepting the application, the team must assure each document is complete and correct through an in-depth review.

*A. Document Review.* The certification team evaluates at least the following:

(1) The Application.

(a) In Block 1, the applicant indicates whether he or she is seeking a private or commercial certificate, whether he or she will be dispensing an economic or other poison, and that the application is for original issuance.

(b) Block 2 is for the name, address (physical location, not a post office box number unless it reflects the physical location of the applicant's base of operations), and telephone number of the applicant. The applicant lists here all d/b/a's that will be used.

(c) Block 3 is for the address and phone number of the principal base of operations.

(d) In Block 4, the applicant specifies whether the application is for an individual, a corporation, or a partnership.

(e) In Block 5, applicants for a commercial operator's certificate must indicate the name of the chief supervisor, if it is other than the applicant.

(f) In Block 6, the applicant indicates the chief supervisor's grade of certificate; category, class, and type ratings; and certificate number.

(g) Blocks 7A and 7B should be left blank.

(h) In Block 8, the applicant indicates the number and the correct make and model of aircraft and whether they are equipped for liquid or solid dispensing.

(i) In Block 9, the applicant lists any other pilots he or she employs and their certificate numbers.

(j) Block 10 is for any pertinent remarks the applicant may have.

(k) In Block 11, the applicant or authorized officer signs and dates the application. Signatures on all copies must be original.

(2) The reverse side is the inspector's report, where the certification team indicates the acceptability of the inspections. Figure 116-8 shows a typical example.

(3) Chief Supervisor (commercial operators only) and pilot qualifications (FAR § 137.19)

(a) Pilot currency requirements (FAR Part 61)

(b) Any existing letters of competency

(4) Aircraft documents (Airworthiness)

(a) Registration certificate

(b) Airworthiness certificate

(c) Logbooks

(d) Requirements of FAR § 137.31

*B. Unsatisfactory Items.* If there are any unsatisfactory items, advise the applicant that they must be corrected before certification can continue.

*C. Terminating the Document Compliance Phase.* When all documents are satisfactory, conclude the document compliance phase. The next phase is the demonstration and inspection phase.

**11. DEMONSTRATION AND INSPECTION PHASE PROCEDURES.**

*A. Conduct Knowledge and Skill Test.* Accept a letter of competency or a logbook endorsement by an FAA inspector or a designated chief supervisor of operations as meeting the requirement for a knowledge and skill test. If a pilot does not have a letter of competency or a logbook endorsement, administer a knowledge and skill test to the chief supervisor, who can then, in turn, administer tests to other agricultural pilots. (See volume 2, chapter 118, Administer a Knowledge and Skill Test to an Agricultural Pilot.)

(1) If any test is failed, notify the pilot immediately, following the procedures in volume 2, chapter 118. Reschedule the appropriate portion of the test.

(2) If the pilot passes the test, issue a letter of competency or make a notation in the pilot's logbook. Use volume 2, chapter 118, figure 118-3 or 118-4, as applicable. (If a logbook entry is used, make a memorandum for the office file.)

*B. Inspect Record Keeping Requirements.* Inspect the applicant's record system.

(1) Commercial operators (FAR § 137.71)

(2) Private operators (none are required)

*C. Inspect Aircraft.* (Airworthiness)

*D. Conduct a Base Inspection.* See volume 2, chapter 117, Conduct a FAR Part 137 Base Inspection.

*E. Terminating the Demonstration and Inspection Phase.* When all demonstrations and inspections are complete, conclude the demonstration and inspection phase. The next phase is the certification phase.

**13. CERTIFICATION PHASE PROCEDURES.** When all certification requirements have been met, complete inspection reports and checklists. Have the administrative staff prepare the operating certificate.

*A. Prepare and Issue the Operating Certificate.* Use FAA Form 8430-21 for an Operating Certificate (figure 116-9 or 116-10). Obtain a certificate number following the procedures in volume 2, chapter 203, Obtain Certificate Numbers. The following information must be typed on the appropriate form when preparing the certificate for issuance.

(1) Enter the certificate holder's full, legal name directly below the words "This certifies that..." Show other names (such as "doing business as") on the certificate. If necessary, list them on a separate, attached letter (figure 116-11).

(2) Enter the address of the certificate holder's principal base of operations directly below the certificate holder's name. (Do not use a post office box address unless it also reflects the physical location of the principal base of operations.)

(3) Do not modify the pre-printed certification statement of authority. Complete the statement by typing either, "Private Agricultural Aircraft Operations" or "Commercial Agricultural Aircraft Operations" in the space provided. Indicate whether dispensing of economic poisons is prohibited or allowed.

(4) Obtain the final certificate number from AFS-620 in accordance with volume 2, chapter 203, Obtain Certificate Numbers.

(5) Enter the date all requirements for certification were met.

(6) Type the four-character, alpha-numeric designator and city and state of the certificate-holding district office (CHDO) into the "Issued at" space of the form (e.g., EA18, Richmond, VA).

(7) Submit the certificate to the district office manager for signature.

(8) Enter the full title of the person signing the certificate in the space provided. Enter the acronym

of the region and the Flight Standards District Office (FSDO) acronym and number in the "region/office" space (e.g., AWP FSDO 04).

*B. Certificate Denial.* If any certification requirement is not met, issue a letter of denial (figure 116-12). Specify reasons for denial.

*C. Certification Report.* Assemble a certification report containing the following:

(1) A copy of the letter of intent, if applicable

(2) The certification job aid

(3) The application

(4) The Schedule of Events

(5) A copy of the Operating Certificate issued

(6) A summary of any difficulty encountered during certification and its resolution

(7) A copy of any deviation or waiver issued

*C. Disposition of Certification File*

(1) The district office shall retain the original certification report in the district office file.

(2) If airplanes are to be domiciled outside of the certificating district office's jurisdiction, the principal operations inspector assigned to the operator shall notify the other district office and provide a copy of any portion or all of the certification file to the other district office at its request.

*D. Minimum Equipment List (MEL).* Issue a letter of authorization (LOA) to operate with an MEL, if applicable. (See volume 2, chapter 58, Approve a Minimum Equipment List.)

*E. Vital Information Subsystem (VIS).* Enter all appropriate information in the VIS Air Operator Basic File and Air Operator Aircraft Auxiliary File. (See volume 2, chapter 205, Open/Update Vital Information Subsystem File.)

*F. District Office File.* The Team Leader shall ensure an official office file is established after certification is complete. The file shall contain at least the following:

(1) Material from any working file used up to this point

(2) The certification report and attachments

(3) EIS/AIDS profile on applicant and personnel, including a negative report, if applicable

(4) Approved minimum equipment lists, if applicable

(5) Surveillance reports

(6) General correspondence relevant to the operator or agency

*G. PTRS.* Make PTRS entry for this task.

**15. TASK OUTCOMES.** Completion of the task results in either:

A. Issuance of a certificate authorizing operations under FAR Part 137.

B. A record on file consisting of one of the following:

(1) Written notification to the applicant denying the certificate.

(2) Indication of the return of all original documents to the applicant.

C. A letter to the applicant confirming termination of the certification process per the applicant's request. (figure 116-13)

**17. FUTURE ACTIVITIES.**

A. *Develop Post-Certification Plan.* When developing a post-certification plan, the inspector should plan to conduct additional surveillance or inspections during the first 90 days the organization is in business. Accomplishment of the surveillance may necessitate assistance from other district offices.

B. *Conduct Surveillance.* According to the established post-certification plan, conduct surveillance at appropriate intervals.

[PAGES 116-9 THRU 116-10 RESERVED]

**FIGURE 116-1 FAR PART 137 CERTIFICATION PROCESS FLOW CHART**

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**FIGURE 116-1 FAR PART 137 CERTIFICATION PROCESS FLOW CHART (CON'D)**

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**FIGURE 116-1 FAR PART 137 CERTIFICATION PROCESS FLOW CHART (CON'D)**

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**Figure 116-2 FAR PART 137 CERTIFICATION JOB AID**

<b>FAR PART 137 CERTIFICATION JOB AID</b>					
<b>PAGE TWO</b>	<b>INSP. INITIAL</b>	<b>DATE</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
<b>(1) Plan provides for approval by appropriate government officials</b>					
<b>(2) Plan provides for ATC coordination, if needed</b>					
<b>(3) Plan includes a complete description of the operation</b>					
<b>(4) Plan lists all involved aircraft by make and model and N-number</b>					
<b>(5) Plan list all involved pilots by name and certificate grade and number</b>					
<b>(6) Plan includes appropriate maps, charts, and diagrams</b>					
<b>(7) Plan has a specific method for discontinuing the operation in the event of a hazard</b>					
<b>b. Plan clearly describes who is actually conducting the operation and what is being contracted.</b>					
<b>13. Applicant understands agricultural aircraft operating limitations</b>					
<b>a. Limitations of FAR § 91.39(b) and (c)</b>					
<b>b. Limits on passenger carrying</b>					
<b>c. Weight and balance limits</b>					
<b>d. Limits on operating without position lights</b>					
<b>e. Limits on congested area dispensing</b>					
<b>f. Limits on non-standard traffic patterns</b>					
<b>g. Limits of FAR § 91.79 during ferry to/from dispensing site</b>					
<b>14. Commercial operator record-keeping</b>					
<b>a. Name of each person to which services were provided</b>					
<b>b. Date services were provided</b>					
<b>c. Name and quantity of material dispensed</b>					
<b>d. Name of each pilot used and date FAR § 137.19(e) was met</b>					
<b>e. Knowledge of need to keep records for one year</b>					
<b>15. Certificate number obtained from AVN-120</b>					
<b>16. Private Agricultural Aircraft Operator's Certificate prepared and issued</b>					



**Figure 116-2 FAR PART 137 CERTIFICATION JOB AID**

<b>FAR PART 137 CERTIFICATION JOB AID</b>
<b>REMARKS</b>
<b>Inspectors' signatures:</b>

**FIGURE 116-3 SCHEDULE OF EVENTS**

<b>FAR PART 137 SCHEDULE OF EVENTS</b>													
<b>NAME OF OPERATOR:</b>  _____  <b>ADDRESS:</b>  _____	<b>NAMES OF MANAGEMENT PERSONNEL</b>  <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%; padding: 5px;"><b>Name</b></td> <td style="width: 40%; padding: 5px;"><b>Title</b></td> </tr> <tr> <td style="border-bottom: 1px solid black;"> </td> <td style="border-bottom: 1px solid black;"> </td> </tr> <tr> <td style="border-bottom: 1px solid black;"> </td> <td style="border-bottom: 1px solid black;"> </td> </tr> <tr> <td style="border-bottom: 1px solid black;"> </td> <td style="border-bottom: 1px solid black;"> </td> </tr> </table>					<b>Name</b>	<b>Title</b>						
<b>Name</b>	<b>Title</b>												
	Applicant DATE READY	FAA DATE REC'D	FAA DATE RET'D	FAA DATE APP'D/ ACP'D	INSP INIT								
1. Letter of Intent													
2. Application (FAA Form 8710-3)													
3. Chief Supervisor Knowledge and Skill Test													
4. Other Pilots Knowledge and Skill Test													
5. Aircraft Lease/Proof of Availability													
6. Aircraft Conformity Inspection (Airworthiness)													
7. Aircraft Records (Airworthiness)													
8. Commercial Operator Recordkeeping System													
9. Proof of Bona Fide Property Interest (Private Operators)													
10. Other:													



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**Figure 116-4 SAMPLE LETTER OF INTENT**

**SLADE'S AERIAL APPLICATORS  
222 DUSTY ROAD  
STOCKTON, CA 94533  
(916) 555-1212**

**April 20, 1989**

**Federal Aviation Administration  
P.O. Box 2397 - Airport Station  
Oakland, CA 94614**

**Gentlemen:**

**This is to notify the Federal Aviation Administration of our intent to become a certificated Commercial [or Private] Agricultural Aircraft Operator under Part 137 of the Federal Aviation Regulations.**

**We plan to begin operations on June 15, 1989, and are ready for your certification inspection at this time. Operations will be confined to the central valley between Bakersfield and Red Bluff, California and will involve the operation of three Grumman Ag-Cat's and two Bell 47G3B1A helicopters.**

**Enclosed is FAA Form 8710-3 in duplicate. Our requested three letter certificate designators are SAA, SAR, and SAP, in that order of preference.**

**Sincerely,**

**John Wesley Slade  
President**

**Attachments**

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**Figure 116-5 LETTER INDICATING APPLICANT INELIGIBLE FOR CERTIFICATION BECAUSE OF EXISTING ENFORCEMENT ACTION**

Applicant's name and address

Dear \_\_\_\_:

This letter is to inform you that you are ineligible for certification as an agricultural aircraft operator.

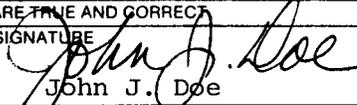
During the investigation of enforcement history, it was determined that [insert type of enforcement action].

If you have any questions concerning this matter or desire to reapply once the enforcement action has been fulfilled, please contact this office at [telephone number].

Signed by District Office Manager

**Figure 116-6 FAA FORM 8710-3, AGRICULTURAL AIRCRAFT OPERATOR CERTIFICATE APPLICATION**

Form Approved  
 OMB No. 2120-0049

		<b>AGRICULTURAL AIRCRAFT OPERATOR CERTIFICATE APPLICATION</b>		<b>INSTRUCTIONS</b> Submit in duplicate to the local General Aviation District Office.	
1. APPLICATION FOR	TYPE		FOR DISPENSING (Check one)		<input checked="" type="checkbox"/> ORIGINAL
	<input type="checkbox"/> PRIVATE	<input checked="" type="checkbox"/> COMMERCIAL	<input checked="" type="checkbox"/> ECONOMIC POISONS	<input type="checkbox"/> OTHER THAN ECONOMIC POISONS	<input type="checkbox"/> AMENDMENT <input type="checkbox"/> REISSUANCE
2. NAME AND ADDRESS OF APPLICANT			3. PRINCIPAL OPERATIONS BASE (Airport, City, State)		
John J. Doe d/b/a Razorback Aerial Sprayers 310 Airport Road TELEPHONE NUMBER ( ) <u>Razorback, Arkansas</u>			Razorback Airport Razorback, Arkansas  TELEPHONE NUMBER ( )		
4. OPERATING AS	<input checked="" type="checkbox"/> INDIVIDUAL	OTHER (Specify)		5. NAME OF CHIEF SUPERVISOR OF OPERATIONS IF OTHER THAN SHOWN IN ITEM 2. (COMMERCIAL OPERATIONS ONLY)	
	<input type="checkbox"/> CORPORATION				
		6. AIRMAN CERTIFICATE HELD		CERTIFICATE NUMBER	
GRADE		RATINGS			
<input type="checkbox"/> PRIVATE	<input checked="" type="checkbox"/> COMMERCIAL	<input checked="" type="checkbox"/> ASE	<input type="checkbox"/> AMES	TYPE RATING(S) (Specify)	
<input checked="" type="checkbox"/> AIRLINE TRANSPORT		<input checked="" type="checkbox"/> AMEL	<input type="checkbox"/> HELICOPTER	None	
		<input type="checkbox"/> ASES	<input type="checkbox"/> GYROPLANE		
7A. DO YOU HOLD A CURRENTLY EFFECTIVE CERTIFICATE OF WAIVER FOR CONDUCTING AGRICULTURAL AIRCRAFT OPERATIONS?					N/A
					NO YES (Complete 7B)
7B. WAIVER HELD	DATE ISSUED	EXPIRATION DATE	FAA DISTRICT OFFICE WHERE ISSUED		
8. AGRICULTURAL AIRCRAFT TO BE OPERATED					
MAKE	MODEL	EQUIPPED FOR		TOTAL NUMBER EACH AIRCRAFT OPERATED	REGISTRATION MARK (List one)
		LIQUID	SOLID		
Piper	PA-25-235	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	2	N1234Z
Piper	PA-18A		<input checked="" type="checkbox"/>	1	
9. LIST THE NAME(S) AND AIRMAN CERTIFICATE NUMBER OF AGRICULTURAL PILOT(S) WORKING FOR YOU AT THE PRESENT TIME (Use separate sheet and attach if additional space is needed.)					
NAME	CERT. NO.	NAME	CERT. NO.		
William D. Davis	1503296				
Edward A. Brown	1434210				
10. REMARKS					
Aircraft will not be available for inspection until 1/12/90					
11. CERTIFICATION: I CERTIFY THAT STATEMENTS MADE ON THIS FORM ARE TRUE AND CORRECT					
DATE	TITLE	SIGNATURE			
12/20/89	Owner, Razorback Aerial Sprayers	 John J. Doe			

FAA Form 8710-3 (10-81)

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**Figure 116-7 LETTER INDICATING APPLICATION IS NOT CORRECT**

FAA Letterhead.

Dear

The enclosed FAA Form 8710-3, Application for Agricultural Aircraft Operator Certificate is being returned because (cite the specific item number on the application form and discrepancy).

I am also enclosing additional forms for your use in resubmitting your application. The new application should be submitted no later than (date - 30 days) so that the certification process will not be terminated.

Sincerely,

Ernest P. Worrell

**Figure 116-8 FAA FORM 8710-3, REVERSE SIDE, INSPECTOR'S REPORT**

<b>INSPECTION REPORT — For FAA Use Only</b> <small>(To be completed by the General Aviation or Flight Standards District Office)</small>			
COMPLIANCE WITH APPLICABLE REGULATIONS			
1. PILOT(S)	NOT REQUIRED	SATISFACTORY	UNSATISFACTORY
A. CERTIFICATES		X	
B. RATING(S)		X	
C. KNOWLEDGE TEST	X		
D. SKILL TEST	X		
2. AIRCRAFT			
A. CERTIFICATED		X	
B. AIRWORTHY		X	
C. EQUIPPED FOR AGRICULTURAL OPERATIONS		X	
<b>3. REMARKS</b> <small>(Include an explanation of denial if application is disapproved).</small>  This applicant has been employed as a chief supervisor by other operator's for the past six (6) years and is establishing his own business. According to our records, neither he nor his pilots have been involved in an aircraft accident during dusting or spraying operations			
4. DISTRICT OFFICE ACTION			
X	CERTIFICATE ISSUED	INSPECTORS SIGNATURES	
	APPLICATION DISAPPROVED	<i>William F. Worth</i> William F. Worth, Operations Inspector	
	DATE INSPECTION COMPLETED 1/21/90	<i>Steve C. Boyington</i> Steve C. Boyington, Maintenance Inspector	

**Figure 116-9 SAMPLE PRIVATE AGRICULTURAL AIRCRAFT OPERATOR CERTIFICATE**

DOT  
LOGO

**OPERATING CERTIFICATE**

This certifies that

(Enter company name)  
(Enter address of principal base of operations)

has met the requirements of the Federal Aviation Act of 1958, as amended, and the rules, regulations, and standards prescribed therein, for the issuance of this certificate and is authorized to operate as an Air Operator and conduct

Enter Private  
agricultural  
aircraft Operations)

**SAMPLE**

in accordance with said Act and its rules, regulations, and standards;

(Enter, Dispensing of  
Economic Poisons Allowed  
or, Dispensing of  
Economic Poisons Pro-  
hibited, as appropriate

This certificate is not transferable and, unless canceled, suspended, superseded, or revoked, shall continue in effect (Enter the word, indefinitely.)  
By Direction of the Administrator.

Certificate (Enter certificate  
number: number obtained from  
AVN-120)

(Have district office manager sign)  
(Signature)

Effective date: (Enter date  
certification was complete)

(Enter district office manager's title)  
(Title)

Issued at: FSDO acronym, city,  
and state

FAA Form 8430-21 (12-86)

**Figure 116-10 SAMPLE COMMERCIAL AGRICULTURAL AIRCRAFT OPERATOR CERTIFICATE**

DOT  
LOGO

**OPERATING CERTIFICATE**

This certifies that

(Enter company name)  
(Enter address of principal base of operations)

(Enter, Commercial  
Agricultural  
Aircraft Operations) has met the requirements of the Federal Aviation Act of 1958, as amended, and the rules, regulations, and standards prescribed therein, for the issuance of this certificate and is authorized to operate as an Air Operator and conduct

**SAMPLE**

in accordance with said Act and its rules, regulations, and standards;

(Enter, Dispensing of  
Economic Poisons Allowed  
or, Dispensing of Eco-  
nomic Poisons Prohibited  
as appropriate)

This certificate is not transferable and, unless canceled, suspended, superseded, or revoked, shall continue in effect (Enter the word, indefinitely.)  
By Direction of the Administrator.

Certificate (Enter certificate  
number: number obtained from  
AVN-120)

(Have district office manager sign)  
(Signature)

Effective date: (Enter date  
certification was complete)

(Enter district office manager's title)  
(Title)

Issued at: FSDO acronym, city,  
and state

FAA Form 8430-21 (12-86)

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**Figure 116-11 LETTER SHOWING D/B/A'S**

FAA Letterhead

This letter, accompanied by Operating Certificate No. [insert number] issued to [legal name of operator] on [date of issuance], authorizes the following additional persons to exercise the privileges and limitations of the certificate.

List all d/b/a's

Signed by District Office Manager

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**Figure 116-12 LETTER DENYING CERTIFICATE**

FAA Letterhead

This letter is to inform you that your application for an Agricultural Aircraft Operating Certificate is denied. During the process of application, the following items were not in compliance with the requirements of Federal Aviation Regulation Parts 61 and 137:

To the inspector: List only those items that were found not in compliance and cite the specific FAR section. For example:

1. Pilot did not possess valid medical certificate (FAR § 61.3(c),
2. The aircraft presented for initial inspection did not have a properly installed shoulder harness (FAR § 137.31(b)

Attempts by personnel from this office to determine if these discrepancies have been corrected have not been successful.

Sincerely,

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**Figure 116-13 LETTER CONFIRMING TERMINATION OF PROCESS AT APPLICANT'S REQUEST**

FAA Letterhead.

This letter confirms your request to terminate the certification process for the issuance of an Agricultural Operating Certificate.

All materials submitted for review are being returned with this letter. Any attempts to re-apply after the date of this letter will require reinitiating the entire certification process.

Signed by district office manager